



*Governor's Office of
Emergency Services*

SEMS Guidelines

Standardized Emergency Management System

Arnold Schwarzenegger
Governor

Henry R. Renteria
Director, Governor's Office of Emergency Services

September 2006 *(Based on the addition of the California Implementation Guidelines
for the National Incident Management System)*

Contents

	<i>Page No.</i>
Introduction to Guidelines	
Purpose of SEMS Guidelines	1
SEMS Documentation	1
Organization of the Guidelines	2
Relationship to Other Plans and Guidelines	3
Background on SEMS Development	4
History	4
Regulation Development	4
Process	5
Guidelines and Training Course Development	6
I. System Description	
A. General System	
1. What Is SEMS?	1
2. Purpose of SEMS	1
3. Organizational Levels and Activation Requirements	2
Field Response Level	2
Local Government Level	2
Operational Area	3
Region	3
State	3
4. Features Common to all Organizational/Response Levels	5
Essential Management Functions	5
Management by Objectives	5
Action Planning	5
Organizational Flexibility-- Modular	
Organization	6
Span of Control	7
Personnel Accountability	7

	<i>Page No.</i>
Common Terminology	7
Resources Management	8
Integrated Communications	8
Response Information Management System (RIMS)	8
5. Mutual Aid	8
Mutual Aid Systems	9
Mutual Aid Coordinators	9
Participation of Community Based Organizations, Collaboratives and Private Agencies	12
Emergency Facilities used for Mutual Aid	14
6. Overview of SEMS Response	14
Local Incident within Capability of Local Government	15
Single Jurisdiction Incident--Local Government Requires Some Additional Resources	16
Major Single Jurisdiction Disaster--Local Government Requires Additional Resources	17
Major Area-Wide Disaster--Damage in Multiple Operational Areas	19

B. Field Response Level

1. ICS Description	1
Overview of the Structure of ICS	1
Incident Facilities	2
2. Functions of ICS	3
Command	3
Operations	4
Planning/Intelligence	6
Logistics	7
Finance/Administration	9
3. Principles of ICS	10
4. Activation Criteria for ICS	12
5. Expansion of the ICS Management Structure- Modularity	14

	<i>Page No.</i>
6. Resources and Staging Areas	16
Staging Areas	17
7. Unified Command	18
Primary Features of a Unified Command Incident	
Organization	18
Advantages of using Unified Command	18
8. Incident Action Plans	19
Components of and Incident Action Plan	20
9. Area Command	20
The purpose of and Area Command is to:	21
Examples when Area Command might be used:	21
Area Command Reporting Relationships	22
Advantages of Using Area Command	22
Requirements in Establishing Area Command	23
10. Relationship to Emergency Operations Centers (EOCs) and/or Department Operations Centers (DOCs)	24
11. Relationship to Multi-Agency Coordination Systems	26
12. Relationship to Multi-agency or Inter-agency Coordination	26
13. Involvement of Special Districts, Public Utilities, Community Based Organizations, Collaboratives and Private Agencies in Incident Response	27

C. Local Government Level

1. Local Government Level in SEMS	1
2. SEMS Requirements for Local Governments	2
3. Emergency Operations Center (EOC)	2
4. EOC Organization	3

	<i>Page No.</i>
5. Activation	11
6. Action Planning	11
7. Multi-agency or Inter-agency Coordination at the Local Government Level	13
Inter-agency Coordination in the EOC	13
Establishing a Inter-agency Coordination Group	13
8. Coordination with the Field Response Level	14
9. Coordination with the Operational Area Level	16
10. Special Districts Involvement	18
11. Coordination With Community Based Organizations and Collaboratives	19
12. Relationship to Mutual Aid Systems	21
 D. Operational Area Level	
1. Role of the Operational Area	1
2. Operational Area Emergency Operations Center (EOC)	2
3. Operational Area Emergency Management Organization	3
4. Relationship of Operational Area Mutual Aid Coordinators	7
5. Activation of the Operational Area	7
6. Action Planning	10
7. Resource Management at the Operational Area Level	10
8. Multi-agency or Inter-agency Coordination at the Operational Area Level	11
Inter-agency	11
Coordination in the EOC	12

	<i>Page No.</i>
Establishing a Inter-agency Coordination Group	12
9. Coordination with Cities and County Government	13
10. Special District Involvement	15
11. Coordination with Community Based Organizatiions and Collaboratives	16
12. Coordination with the Regional Level	17
13. Relationship to RIMS	20
Operational Area Satellite Information System (OASIS)	20
 E. Regional Level	
1. Regional Level in SEMS	1
A. Mutual Aid, Mutual Aid Regions and Mutual Aid Systems	1
B. OES Administrative Regions	6
2. SEMS Regional Guidelines	7
3. Responsibilities and Roles of OES Regional EOCs	8
Operational Role	8
Purchasing Authority, Procurement Policy and Mission Numbers	9
4. Activating the Regional EOC (REOC)	10
5. Regional EOC (REOC) Organization	11
Organizational Span-of-Control	14
6. Regional EOC Staffing	15
7. Coordination with the Operational Area	15
8. Coordination and Communication with Established Mutual Aid System Regional Coordinators	18

	<i>Page No.</i>
9. Coordination with the State Level	20
10. State Regional and Federal Interactions	20
11. Multi-agency or Inter-agency Coordination at the Regional Level	22
12. Action Planning at the REOC Level	22
13. Response Information Management System (RIMS) at the Region	23
14. Role of the Operational Area Satellite Information System (OASIS) at the Region	24

F. State Level

1. Role of the State Level in SEMS	1
A. General Concept of Operations	1
B. Major Responsibilities of the State Operations Center (SOC)	2
C. Primary Response Functions of the State Operations Center	2
2. Organization of the SOC	3
Organizational Span-of-Control	6
3. Activation of the State Operations Center (SOC)	7
4. SOC Staffing	8
5. Coordination with the Region	9
6. Multi-agency or Inter-agency Coordination at the State Level	10
7. State and Federal Interactions	10
8. Action Planning at the SOC	11
9. Role of the Response Information Management System (RIMS) at the SOC	12

10. Role of the Operational Area Satellite System (OASIS) at the SOC	12
---	-----------

II. Planning and Developing SEMS

A. Field Response Level

1. Who should use ICS?	1
Local Government Emergency Response Agencies at the Field Level	1
State Emergency Response Agencies at the Field Level	2
2. Policies and Procedures	3
3. Training	3
4. Exercising	4
5. Planning Checklist	5
Policies and Procedures	5
Training	5
Exercising	6

B. Local Government Level

1. Adopting SEMS	1
2. Responsibility for SEMS Planning	1
3. Participating in the Operational Area	1
4. Developing Relationships with Other Local Governments	2
5. Incorporating SEMS into the Emergency Plan	2
6. Relationship of SEMS and MHFP	3
7. Use of Response Information Management System Forms	6
8. Operational Area Satellite Information System (OASIS)	7

9. Training	7
10. Exercises	8
11. Planning Checklist	9

C. Operational Area

1. Responsibility for Planning and Developing the Operational Area	1
Need for Cooperative Planning Approach	1
Board of Supervisors Responsibility	1
Lead Agency Responsibility	1
2. Elements of an Effective Operational Area	3
3. Lead Agency	3
Joint Powers Agreement	4
Memorandum of Understanding	5
4. Lead Agency Staff	5
5. Operational Area Disaster Councils	6
6. Designated Operational Area EOC	6
7. Developing the EOC Organization	7
8. Plans and Procedures	8
9. Training	9
10. Exercises	10
11. Planning Checklist	10

D. Regional Level

1. Responsibility for SEMS Planning	1
2. Developing and Maintaining the REOC	2

3. REOC Operating Plan and Standard Operating Procedures	2
4. Training	3
5. Exercises	4
6. Planning Checklist	4

E. State Level

1. Responsibility for SEMS Planning	1
2. State Emergency Plan and Related Plans	2
3. State Operations Center	2
4. SOC Standard Operating Procedures	3
5. Training	3
6. Exercises	4
7. Planning Checklist	5

III. Supporting Documents

SEMS Regulations
After Action Reports
SEMS Maintenance System
SEMS Action Planning
Glossary of Terms
Function Specific Handbooks
Emergency Operations Center Course

Materials Produced by The SEMS Maintenance System (Available on OES web site)

Shelter Medical Group Report: Evacuation, Care, and Sheltering of The Medically Fragile

Guidelines for Inter-County Sheltering Caused by Large-Scale Evacuations of People

SEMS Resource Ordering and Tracking: A Guide for State and Local Government

Disaster Assistance Funding Guidance

Public Assistance Eligibility Guidelines for Floods

Flood Preparedness Guide for Levee Maintaining Agencies

Guidelines for Coordinating Flood Emergency Operations

Legal Guidelines for Flood Evacuations

Emergency Plans for Mobilehome Parks

Protocol for Closure of Delta Waterways

Mutual Aid Specialist Committee Findings and Recommendations

Legal Guidelines for Controlling Movement of People and Property During an Emergency

Search and Rescue Operating Plan and Model MOU

Memorandum of Understanding for Animal Care During Disasters

*Unified Command and SEMS: A Guide for State
and Local Government*

*Standardized Emergency Management (SEMS)
Guidance for Special Districts*

*California Implementation Guidelines For The
National Incident Management System-*

Introduction to SEMS Guidelines

The 2006 Edition

The 2006 edition of the SEMS Guidelines is the result of work done by the SEMS Maintenance System in 2001 and the California Implementation Guidelines for the National Incident Management System (NIMS) published in 2006.

The California Implementation Guidelines for the National Incident Management System were approved by the SEMS Advisory Board on April 26, 2006. The Guidelines were developed to support NIMS compliance by state agencies, local and tribal government, and formed the basis for 12 workshops held during the summer of 2006. The Guidelines are available through the Governor's Office of Emergency Services' (OES) Website (www.oes.ca.gov), or by requesting a copy from the Preparedness Branch of the OES.

As the federal government refines and implements the NIMS, the SEMS Guidelines will be reviewed and revised as necessary through the SEMS Maintenance System.

Purpose of SEMS Guidelines

SEMS guidelines are intended to assist those responsible for planning, implementing and participating in SEMS by:

- explaining further the principles and operating concepts of SEMS as set forth in regulations,
- describing how SEMS functions at field response, local government, operational area, region, and state levels and the relationships among levels,
- providing models and examples that may be used to plan and develop SEMS,
- describing how existing plans and systems fit with SEMS,
- describing the role of various levels of government, special districts, and private and volunteer agencies in SEMS,
- describing the system for maintaining and improving SEMS.

SEMS Guidelines are not regulations, do not alter regulations, and do not set standards for compliance. The models and examples contained in the SEMS

Guidelines are not intended to be the only ways to implement SEMS.

SEMS Documentation

Documentation specific to SEMS includes:

Government Code Section 8607 (a) -- Statute, which directs the Governor's Office of Emergency Services (OES) to establish SEMS by regulation.

California Code of Regulations Section 2400-2450 -- Regulations establishing SEMS.

SEMS Guidelines --Guidance for emergency response agencies on planning, developing, operating and maintaining SEMS consistent with regulations.

SEMS Approved Course of Instruction (ACI)--Training courses for emergency response personnel at field and emergency operations center (EOC) levels developed pursuant to SEMS Regulations. The approved courses include an Introductory Course, Field Level Course (Incident Command System), EOC Course, and Executive Course. Further information on the approved courses are provided in Part III of the Guidelines.

Emergency Planning Guidance for Local Government -- Provides guidance for developing local emergency plans consistent with SEMS. It includes a sample plan for the fictitious city of San Luis Del Mar and the county of Santa Luisa. Both of these are creatures of the California Specialized Training Institute (CSTI), the training arm of the Governor's Office of Emergency Services, and are used in the training they provide.

Organization of the Guidelines

This SEMS Guidelines document is organized in three parts:

Part I. System Description explains how SEMS is intended to work. The General System Description provides an overview of the entire system and the general interactions between levels of the system. It is followed by a section on each of the SEMS levels: field response, local government, operational area, regional, and state.

Part II. Planning and Developing SEMS provides initial guidance for emergency response agencies and steps that need to be taken to develop the system at each level.

Part III. Supporting Documents includes the SEMS Maintenance System document, which describes the roles of the SEMS Advisory Board, Technical Group and Mutual Aid Regional Advisory Boards in the ongoing development and maintenance of SEMS. Part III also contains a series of documents that provide additional information on specific topics useful to emergency response agencies, such as action planning, after-action reports, a glossary, and other documents that have been produced by the SEMS Maintenance System. Personnel with SEMS responsibilities are encouraged to read the entire guidelines for a thorough understanding of the development, operation, and maintenance of SEMS. At a minimum, they should read Part I.A. General System Description, the applicable sections of Part I and Part II for their respective level(s), and Part III SEMS Maintenance System. State and local government agency officials with responsibilities for field level personnel should read the field response level sections of Part I and Part II. Local government officials with emergency operations center or department operations center responsibilities should read the sections on both local government and operational area levels. (Special districts are defined as local governments in SEMS.) State agency officials with emergency operations center or department operations center responsibilities may need to read the regional and/or state level sections. The guidelines section for each SEMS level is intended to be a comprehensive discussion of that level including interactions with other levels. This results in some redundancy between sections.

Relationship to Other Plans and Guidelines

Many emergency planning documents were developed prior to the establishment of SEMS. The general relationship of key documents to the SEMS Guidelines is described briefly below.

State Emergency Plan and Supporting Plans -- The State Emergency Plan is the primary document guiding the state's response during emergencies. It defines emergency roles and responsibilities of state agencies. SEMS regulations and guidelines do not change the individual agency roles and responsibilities in existing laws or as described in the State Emergency Plan. SEMS Guidelines describe the system in which these agencies will function.

Emergency Planning Guidance For Local Governments (EPGLG)--The EPGLG provides local emergency planning guidance, a model city and county plan. Prior to the development of the EPGLG most jurisdictions have used a Multi-Hazard Functional Planning (MHFP) format. The EPGLG adapts this format to meet the requirements of SEMS. The *SEMS Guidelines* do not propose a model format, but do provide the organizational framework in which MHFP functions and other emergency functions can be placed. The relationship of the MHFP to SEMS is discussed further in Guidelines Part II.B.Local Government.

Mutual Aid Plans and Support Documentation --Several documents describe the workings of mutual aid systems in California, including the *Master Mutual Aid Agreement (MAA)*, *Mutual Aid Handbook*, and discipline-specific mutual aid plans, such as fire, law enforcement and medical. SEMS does not change existing mutual aid systems; mutual aid is part of the framework of SEMS. *SEMS Guidelines* provide an overview of mutual aid systems in the state and discuss the relationship of mutual aid coordinators to operational area, regional, and state EOCs. Readers interested in detailed information on discipline-specific mutual aid systems should review the appropriate discipline-specific mutual aid plan and supporting documentation.

Operational Area Satellite Information System (OASIS), Interim Guidelines --The OASIS guidelines describe an informational and resource tracking system for operational areas. It defines data and forms to be used to report key functions that include the MHFP functions. The OASIS functional approach and use of the operational area concept is compatible with SEMS. The functions in OASIS, like the MHFP functions, can be placed in the organizational framework of SEMS.

Background on SEMS Development

History

As a result of events during the 1991 East Bay Hills fire, Senator Petris introduced SB 1841 (chaptered as Government Code Section 8607, effective January 1,

1993). This statute directs the Governor's Office of Emergency Services (OES) in coordination with all interested state agencies with designated response roles in the state emergency plan and interested local emergency management agencies, to establish by regulation the Standardized Emergency Management System (SEMS). The framework of SEMS includes the Incident Command System (ICS), multi-agency or inter-agency coordination, the Master Mutual Aid Agreement (MMAA) and system, and the operational area concept.

Regulation Development

OES established the SEMS Development Advisory Committee to assist in the development of the system and regulations. Chaired by the OES Deputy Director, Planning and Disaster Assistance, members included:

Representing Local Government Emergency Management

Mutual Aid Region I-- Los Angeles County Sheriff's Department

Mutual Aid Region II-- City of Oakland Office of Emergency Services

Mutual Aid Region III--Redding Fire Department

Mutual Aid Region IV-- San Joaquin County Office of Emergency Services (initially) Placer County Office of Emergency Services

Mutual Aid Region V--Kern County Emergency Medical Services Department

Mutual Aid Region VI--Riverside County Fire Department Emergency

Services (initially), City of San Diego Emergency Management Office (initially), Rancho Cucamonga Office of Emergency Services

Representing Law Enforcement

Tuolumne County Sheriff's Office

Representing Fire Services

Orange County Fire Department

Representing Utilities

East Bay Municipal Utilities District

Metropolitan Water District of Southern California

Representing State Agencies

Emergency Medical Services Authority

Department of Forestry and Fire Protection

State Fire Marshal

California Highway Patrol
Military Department
Commission on Peace Officer Standards and Training

Process

Using a facilitated round table process, the Advisory Committee began meeting March 16, 1993, to develop the Standardized Emergency Management System and to write the proposed regulations. In this process, the committee considered the current structure and responsibilities of the full range of emergency management in California. They identified five emergency management levels (field, local government, operational area, regional, and state) and the responsibilities and methods of operations the levels have in common and those that are unique. The committee then developed and approved regulations addressing the levels, responsibilities and methods of operations, and incorporating ICS, multi-agency or inter-agency coordination, the operational area concept, and mutual aid.

OES also established an internal SEMS Coordination Committee. The Statewide Emergency Planning Committee (SWEPC), a standing committee with membership from 48 state agencies, has also met to provide input to the system and regulations.

The proposed regulations were subject to a review and public hearing process. The Advisory Committee considered comments received in the process. The final adopted regulations became effective September 2, 1994 as Title 19, Division 2, Chapter 1 of the California Code of Regulations.

Guidelines and Training Course Development

The SEMS Advisory Committee established a Guidelines and Training Working Group to develop *SEMS Guidelines* and the *Approved Course of Instruction (ACI)*. Working group membership included representatives from:

Los Angeles County Sheriff's Department
Commission on Peace Officer's Standards and Training
Kern County Emergency Medical Services Department
Orange County Fire Department
Governor's Office of Emergency Services
Rancho Cucamonga Office of Emergency Services
California Highway Patrol
California Department of Forestry and Fire Protection
California Emergency Medical Services Authority

State Fire Marshal's Office
East Bay Municipal Utilities District
City of San Diego Emergency Management Office
City of Los Angeles Police Department

State OES contracted with consultants to assist the working group in developing guidelines and training courses. The working group and consultants developed draft *SEMS Guidelines* and SEMS Training Courses for review by the Advisory Committee. Advisory Committee members also asked a number of additional local government and agency representatives to review and comment on the draft guidelines. Comments were addressed and the final draft *SEMS Guidelines* and *Approved Course of Instruction* were provided to OES.

The SEMS Advisory Committee was eventually disbanded as the SEMS Maintenance System became operational. For further information on this, consult Part III, Supporting Documents.